

Smith Family Awards Program for Excellence in Biomedical Research

A program of the Richard and Susan Smith Family Foundation

Invited Full Proposal Guidelines

2025 Grant Cycle

<p>Submission Deadline Tuesday, October 8, 2024 12:00 PM, Eastern Time</p>	<p>Terms of the Award Application Instructions</p>
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Award Summary	
Award Amount and Duration:	Up to five \$400,000 three-year awards will be made to support promising junior faculty with the potential to transform their fields through their research
Award Dates:	April 1, 2025 – March 31, 2028
Eligibility:	<ul style="list-style-type: none"> Based at a nonprofit academic, medical, or research institution in Massachusetts or at Brown or Yale University. Full-time tenure-track (or equivalent) research faculty; received or will receive first independent research faculty appointment (normally tenure-track Assistant Professor) on or between October 1, 2022 through April 1, 2025. Have less than \$350,000 in combined federal and non-federal funding in direct costs per year, excluding the institutional start-up package and other intramural support. Must have at least 75% time protected for research. See Eligibility Criteria for more details.
Research Focus:	<p>The three-year Award supports newly independent faculty engaged in basic or translational biomedical research. Investigators in the physical sciences (physics, chemistry, and engineering) whose projects focus on biomedical science are also encouraged to apply.</p> <p>Exclusions: While basic research projects involving human subjects, data, and samples are eligible, clinical trials research is beyond the scope of this program.</p>

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Program Overview and Statement of Purpose

The Smith Family Foundation is committed to effecting permanent positive change in the lives of the residents of Greater Boston, particularly individuals and families in economically disadvantaged communities. In the area of health, the Foundation supports the advancement of biomedical research and the expansion of access to high-quality health care at safety net institutions serving low-income individuals and communities of Greater Boston.

The Smith Family Awards Program for Excellence in Biomedical Research was created in 1991 to launch the careers of newly independent biomedical researchers with the ultimate goal of achieving medical breakthroughs. Since 1992, the Program has funded 1972 outstanding scientists and has provided \$44.1 million in research support.

The Smith Family Awards Program for Excellence in Biomedical Research is managed by Health Resources in Action (HRiA). HRiA is a non-profit organization that partners with individuals, organizations, and communities to transform the practices, policies, and systems that improve health and advance equity.

Research Focus

The three-year Award supports newly independent faculty engaged in **basic or translational biomedical research**. Investigators in the physical sciences (physics, chemistry, and engineering) whose projects focus on biomedical science are also encouraged to apply. While basic research projects involving human subjects, data, and samples are eligible, clinical trials research is beyond the scope of this program.

We invite proposals from starting faculty members who study a wide range of problems in diverse biological systems. For example, we have supported research as diverse as regulated translation in synapse formation, bacterial regulators of immunity, kinetochore function in centromere cohesion, neural codes for perception, and DNA damage pathways in tumors. We recognize that very basic biology discovered in systems ranging from bacteria to plants to human tumors can impact fields as distant as neural pathfinding and immune function. We welcome proposals that range from fundamental biology to translational research. Our review committees have traditionally been composed of researchers from diverse disciplines including bacterial and eukaryotic geneticists, immunologists, neurobiologists, developmental biologists, cancer biologists, and transcriptional regulation experts, who can assess a wide range of biological proposals.

In recognition of the importance of research collaboration within the scientific community, collaboration is an additional, but not required, positive ancillary factor. These projects may involve researchers within and/or outside the applicant's institution.



Eligibility Criteria

United States citizenship is not required.

Institution

- Researchers must have their primary appointment at a nonprofit academic, medical, or research institution in Massachusetts, or at Brown University or Yale University.
- Research projects must be conducted within the entity that is submitting the application. Award funds will go to that entity. For example, if an applicant submits from Harvard Medical School, the research project must be conducted at Harvard Medical School and not at an affiliate location (such as Massachusetts General Hospital or Boston Children's Hospital).

Career Stage

- Applications will be accepted from full-time faculty who have received or will receive their **first independent research faculty appointment on or between October 1, 2022 through April 1, 2025**. *Due to the COVID-19 pandemic, the eligibility period for the 2022, 2023, and 2024 grant cycles was extended by one year. This means that researchers who were promoted to their first tenure-track Assistant Professor appointment no more than 3.5 years prior to the award start date of April 1, 2023 are eligible to apply for this award in the current grant cycle. As in years prior to 2022, the eligibility window will be 2.5 years of independence prior to the award start for the 2025 grant cycle and beyond.*
- We understand that there is a continuum of independence at many institutions beginning with emerging independence at the Instructor level. However, to level the playing field and ensure that all applicants have only one window of eligibility, **we consider the tenure-track Assistant Professor appointment to be the first independent faculty appointment.**
- If an Applicant has been on medical or family leave, or if research was interrupted for other reasons, this period of absence does not count towards eligibility. Please address any gaps in work history in the Personal Statement on the Biosketch. The Department or Division Chair must also confirm the leave of absence as well as applicant eligibility in the "Applicant Independence/Institutional Commitment Form."
- All applicants must have completed their postdoctoral training by the funding start date of April 1, 2025.
- The Applicant's level of independence is critical. The "Applicant Independence/Institutional Commitment Form" must be completed by the Department or Division Chair and must describe space, start-up package, percentage of clinical vs research time (the Applicant must have at least 75% time protected for research), and institutional commitment. This form will be used by the Scientific Review Committee in evaluating independence. **This is the same form used during the initial application. Please carryforward the completed form from the initial application.**

Current, Pending and Post Award Funding

Concurrent Federal and Non-Federal Support

- Applicants are ineligible if, at the time of application, they have combined federal and non-federal funding totaling \$350,000 or more in direct costs in either of the



- first two years (4/1/25 - 3/31/26 or 4/1/26 - 3/31/27) of the three-year Smith Award. This figure refers to external funding only and not an Applicant's start-up package, other intramural support, or the Smith Award.
- Applicants are also ineligible if they were previously or are currently a Principal Investigator or Multiple PI (NIH), Co-PI (NSF), or equivalent on an R01, P01, Pioneer Award, New Innovator Award or similar large awards from other federal agencies or national foundations.

Pending Federal and Non-Federal Support

- Applicants who have pending R01s or other large applications to the NIH and other agencies are encouraged to submit proposals to the Smith Family Foundation. However, neither the applicant nor the institution may accept funding with budgetary overlap with the proposed aims of a funded Smith project. To avoid conflicts if your proposal receives a funding recommendation, **we strongly suggest that you do not propose the same aims and budget in different grant applications.** Please note that if a Smith Excellence award is made, neither the Institution nor the awardee may accept funding that results in an overlap of funding for the Smith Excellence project. **If the work proposed in the Smith Excellence proposal is funded by another source before the Smith awards are announced, the applicant must notify HRiA at SmithExcellence@hria.org and withdraw the application immediately.**
- If an applicant is **notified on or prior to 12/1/2024** that they have been successful in securing federal or non-federal grant support which, when combined with other support, totals \$350,000 or more in direct costs in either of the first two years of the Smith Award, the application to the Smith Excellence Program will be ineligible for review. Notification of funding **after 12/1/24** will not impact eligibility for a Smith Family Award. **It is the responsibility of all applicants to contact SmithExcellence@hria.org as soon as notification of any new funding is received.**

Review Criteria

The Scientific Review Committee uses the following criteria to evaluate applications.

Impact

- The proposed basic or translational biomedical research addresses an important problem and has high potential to lead a fundamental advance in basic biology or a substantial advance in translational biology. In the longer term, the work has potential to generate a medical breakthrough.

Applicant

- The applicant is fully capable of carrying out the proposed research and has clear ability to develop a sound research plan.
- The institution has demonstrated an appropriate level of commitment to her/him.
- Collaboration is an additional, but not required, positive ancillary factor.



Research project

- Research question and hypothesis are clearly stated and are based on sound precedents and a clear rationale.
- Study design is appropriate to answer the question(s) and technically feasible.
- The proposal makes sense in the context of the pertinent literature and the work of other investigators in the field of study.

Notification Schedule

The Smith Family Awards Program for Excellence in Biomedical Research is a two-stage proposal process. Decisions regarding the initial stage will be announced in late August. Invited applicants will be asked to submit Full Proposals due on October 8th. Final notification to applicants will be made in mid/late-February 2025. Funding begins on or about April 1, 2025. If available, critiques of the grant applications will be provided. Applicant ranking in the review process will not be provided. The online applicant system will notify applicants once the application is received and will be used to communicate with applicants about the status of their applications.

Please Note: If the Applicant is unable to accept the Award, the Award will not be transferred to another investigator involved in the research project.

Proposal Writing Tips

Applicants are strongly encouraged to prioritize good grantsmanship in writing their initial applications, to maximize their chances of being invited to submit a full application. The Review Committee is composed of a diverse group of researchers who can assess a wide range of biomedical research proposals, such as bacterial and eukaryotic geneticists, immunologists, neurobiologists, developmental biologists, cancer biologists, and experts in transcriptional regulation. Characteristics of a well-written proposal include the following:

- Main points are communicated clearly and concisely. The big picture of what will be done, why it is important, and how it will advance the field is clear.
- The language is understandable to a general scientific audience. When jargon must be used, it is clearly explained, and complex technical points are put in context.
- Specific aims and concise/essential background, experiments, and analysis plan are connected with clear logic, and key choices are justified. Sufficient detail about the approach is provided that the reviewers can clearly understand the proposed experiments.
- Written responses answer the questions, and the use of references is appropriate. The writing is clear and does not overly rely on references to cheat the word count.
- For applicants in crowded fields, the proposal makes clear how the study will bring a fresh perspective. Innovation and novelty in the field *should not be overstated*. Reviewers typically check this.
- Goals and metrics of success are well-defined.
- While the work must be feasible, top-scoring proposals typically have at least one ambitious aim. The preliminary proposal format is intended to give you the freedom to be creative. Reviewers do not look favorably on applications that look and feel like a shrunken, repurposed R01.
- The impact of the work and how it will lead to a fundamental advance in basic biology or a substantial advance in translational biology should be clear.



- Any appearance of scientific or budgetary overlap with other current or pending support is clearly described. Because Smith awardees are not allowed to accept funding that overlaps with the aims of the Smith project, we suggest applicants avoid proposing the same aims and budget in different grant applications.
- Information about preprints and major papers in press is shared in the Biosketch.

Applicants are encouraged to seek grant writing advice within their institutions and externally, and to ensure that the initial proposal is clear and comprehensible to a scientist from a related field as well as to a specialist. It may be helpful to read examples of successful proposals, such as those found in the grant-writing tip sheets for NIH research grants. Institutions and colleagues may also be willing to provide examples of well-written and successful grant applications. Applicants are strongly encouraged to invite a mentor, preferably a tenured faculty member with experience on review committees or NIH study sections, to do a close read and provide feedback on the completed application.

Suggested resources:

Secrets to Writing a Winning Grant: <https://www.nature.com/articles/d41586-019-03914-5>

NIH grant writing tips:

<https://www.nlm.nih.gov/ep/Tutorial.html>

<https://www.nimh.nih.gov/funding/grant-writing-and-application-process/grant-writing-tips.shtml>

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/write-your-application.htm#Important%20Writing%20Tips>

Related Documents and Materials

Download and review the following items at www.hria.org/tmf/Smith

- Frequently Asked Questions
- Application Forms
- **Direct any Questions to Program Staff:** SmithExcellence@hria.org



Application Instructions

Deadline: Tuesday, October 8, 2024 at 12:00 PM, U.S. Eastern Time

Before beginning the online submission, **download and save the “Excellence Application Form” and “Grants Program Budget Template”**, which can be found at <https://hria.org/tmf/Smith>.

Online Portal:

Use the following link to continue the application process:

Continue a SAVED application: https://www.GrantRequest.com/SID_738?SA=AM

Online Application Form:

The following sections must be completed within the online application form:

- Institutions Tax ID Number**
- Applicant Data:** This includes Applicant Institution, Contact Information, Demographic and Educational background information, ORCID identification number (if available).
- Key Personnel:** Collaborator information (if applicable) *This is read-only based on the names entered in the Initial Proposal. If this section needs to be edited, please email the Grants Officer with the correct information.*
- Research Project Information:** Project Title; Research Project Summary; Non-Technical Summary; Non-Technical Overview; Impact Statement; and Brief Biographical Statement
- Institutional Contact Information:** Department/Division Chair, Authorized Institutional Representative, Institutional Officer to Receive Funds
- Attachments:** The application must be converted into **ONE PDF** file, in the order noted, for upload. Make sure all pages are numbered sequentially starting with the Cover Sheet as Page #1.
 - Application document (PDF) – please name as “LastName, FirstName.pdf”**Download the Application Forms and templates:** www.hria.org/tmf/Smith

Application Document (PDF)

Out of fairness to applicants who adhere to the guidelines, applications that do not conform to the stated instructions will be rejected.

- **PDF Document Upload -** The following documents and forms must be combined and converted into ONE PDF file, in the order noted, for upload. This document must be named LastName, FirstName.pdf (for example, Doe, Jane.pdf). Make sure all pages are numbered sequentially starting with the Application Cover Page as Page #1.
 - **Application Cover Page**
 - **Table of Contents:** Follow the Table of Contents and number ALL pages consecutively.



- **Key Personnel:** Collaborator information (this should match the Key Personnel tab on the online form. If this section on the online form needs to be edited, please email the Grants Officer at SmithExcellence@hria.org)
- **Research Project Summary, Performance Sites, Non-Technical Overview, and Impact Statement:** Complete these sections according to the instructions on the template. The Research Project Summary will be posted on our website if the project is funded (*suggested length of 200 words*).
- **Applicant Independence / Institutional Commitment Form:** The Department or Division Chair must complete this form, sign at the bottom, and forward to the Applicant for upload. This form is not a request for a Letter of Recommendation. The Committee has requested that Chairs answer the questions directly, and do not paste in a Letter of Reference. Note: This is the same form used during the initial application. Please copy and paste the form submitted during the initial application. If you need a copy of this form, please email the Grants Officer at SmithExcellence@hria.org
- **Applicant Biosketch:** Use the current form for your NIH Biographical Sketch (<https://grants.nih.gov/grants/forms/biosketch.htm>). Please include information about all current, pending, and completed funding support on the Budget Form tab called “Other Support”.
- **Grants Program Budget Template:** Complete this form for the three years of the project. For projects whose total costs exceed Y1/Y2/Y3 \$134,000/\$133,000/\$133,000, list the other sources of support in the “Other Support” tab. Please include all current, pending, and completed support regardless of relationship to the current Smith request. Indirect costs (institutional overhead) may not exceed 5% of direct costs or \$6,349 per year. Total support from the Smith Family Foundation, including overhead, is \$134,000 for year one, \$133,000 for year two, and \$133,000 for year three. The Budget Template must be (1) included in the PDF for committee review and (2) uploaded separately as an Excel document to be used in expenditure tracking if the grant is funded. Please ensure that the numbers you have entered are identical in both formats or we will not be able to process the application.
- **Research Proposal:** A maximum of 5 pages is permitted (3-5 pages suggested), excluding a bibliography of references. Proposal sections include Specific Aims, Background and Significance, Preliminary Data (*if available*), Research Design and Methods, Potential Limitations, Project Timeline, Future Direction of Laboratory over Next Five Years, and Bibliography.
 - Include all figures, graphs, tables, and images related to the project in the 3-5 pages. For any projects involving collaboration, please include a brief description of these efforts within the 3-5 pages.
 - Format this section with Arial 11 as the font and size. Use single or double line spacing within paragraphs, double line spacing between paragraphs, and one inch or larger margins on all four sides. Figures, legends, and tables may use a font size of 8. Include the Applicant’s name at the top of each page.
- **Letter(s) of Collaboration/Confirmation of Outside Resources:** (*forwarded to the Applicant for inclusion in the document upload*)
 - Collaborations are not required but are encouraged. If the Applicant has collaborators, letters of collaboration must be forwarded to the Applicant for inclusion in the document upload. These letters must confirm the availability



of resources outside the Applicant's institution and confirm any significant collaborative relationship, either within or outside the Applicant's institution. These are brief letters (up to one page) addressing the collaboration.

- **Grants Program Budget Template:** The budget form should be attached in the online application system as a separate Excel file. The budget figures in the Excel file must exactly match the figures included in the PDF upload. The Excel file must be named LastName, FirstName_Budget.xlsx (for example, Doe, Jane_Budget.xlsx).

Please note: Supplemental materials are not permitted and will be removed (e.g., letters of collaboration or recommendation).

HRiA is committed to making our resources accessible to everyone. If you require an accommodation or service to access our resources, please contact program staff.

Direct any questions to program staff:
SmithExcellence@hria.org

(8.2024)



Terms of the Award

Award Amount and Funding Period: Awards are made according to the stated schedule. Recipients may postpone the start date for up to three (3) months without an approval, but the revised date must be noted either on the signature page of this Agreement or by an email notification to the Administrator. Longer delays must be approved by the Administrator. A delayed start date will not reduce the total award period; the end date will be adjusted to include the entire period.

Awards are made to non-profit academic, medical, non-governmental or research institutions within the United States on behalf of the Recipients. The Institution is responsible for the administrative and financial management of the Project, including any subcontracts, and maintaining adequate supporting records and receipts of expenditures.

Research Disturbances: Upon award funding recommendation notification, the Recipient or recommended principal investigator (“PI”) and the Institution shall confirm that the Recipient’s laboratory (and any laboratories/facilities/staff included in the proposed Project) will be operational, and able to start the work described in the Project’s research proposal by funding start date or within the standard three (3) month delayed start timeframe. Start dates beyond the three (3) month timeframe will be considered with assurances from the Institution.

Institutional and Recipient Assurances:

Regulatory Compliance: Institution and Recipients must adhere to all federal, state, and local regulations regarding the use of **human subjects, animals, radioactive or hazardous materials, and recombinant DNA** in this Project. It is the responsibility of the Recipient’s Institution to ensure that all approvals (IRB, IACUC, other) are in place prior to releasing any award funds. The confirmation of the representative of the Institution on the application forms confirms this oversight.

Research Misconduct: Institution certifies that it has established administrative policies as required by Public Health Service Policies on Research Misconduct, 42 CFR § 93, and that Institution and Recipient will comply with the policies and requirements (collectively, the “Policy”) set forth therein. In the unlikely event that a Recipient is involved in an investigation of research and/or financial misconduct directly related to the Project, he or she will be subject to the procedures in place at the Institution as applicable. According to the Policy, research misconduct is defined as the “fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. It does not include honest error or difference of opinion.”

Conflict of Interest: Institution certifies that it has policies and procedures in place with respect to conflicts of interest applicable to research and the Project.

Not Barred: Institution and Recipient each certify that (i) it is not excluded from participation in any state or federal healthcare program, as defined in 42 U.S.C.



§1320a-7b(f) for the provision of items or services for which payment may be made by a federal healthcare program; (ii) it has not contracted for the performance of any services or the provision of supplies required for the performance of the Project with any employee, contractor, agent, vendor or vendor's affiliate knowing that the contracting party is excluded from participation in any state or federal healthcare program; and (iii) it is not the subject of any final or pending adverse action, as defined in 42 U.S.C. § 1320a-7a(e) and 42 U.S.C. § 1320a-7a(g).

Export Control: Institution and Recipient each certify that Recipient (i) is not and has not been designated on any list of any U.S. governmental authority, including OFAC's Specially Designated Nationals and Blocked Persons List, U.S. Department of Commerce's ("Commerce Department") Denied Persons List, the Commerce Department Denied Entity List, and the U.S. Department of State's (the "State Department") Debarred List, (ii) has not participated in any transaction involving any designated person or entity, or any country that is subject to U.S. sanctions administered by OFAC, and (iii) will not export (including deemed exportation) or re-export, directly or indirectly, any good, technology or services in violation of any applicable U.S. export control or economic sanctions laws, regulations or orders administered by OFAC, the Commerce Department or the State Department.

Right to Bind Recipient: Recipient agrees to comply with Institution's policies and procedures, including as related to research integrity, conflict of interest, and compliance with laws. Institution certifies that it has the authority to bind Recipient to Institution's policies and procedures. Institution will be fully responsible for, and will enforce, compliance with its policies and procedures and all applicable law.

Disclosure: To the extent legally permissible, the Institution must notify the Administrator of a finding of research and/or financial misconduct related to the Project. Research misconduct may affect the Recipient's continued eligibility for support for the Project.

Liability: Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, agents, or directors, to the extent allowed by law.

Indemnity: To the extent permitted under the applicable federal, state, and local laws and regulations which govern the Recipient and Institution, the Recipient and Institution shall indemnify and hold HRiA, Trustee, and Funder, as well as their respective directors, officers, employees, and assigns (the "Indemnified Parties") harmless from and against any and all costs, losses, or expenses, including reasonable attorneys' fees, that the Indemnified Parties may incur by reason of the Recipient and Institution and/or PI's negligence or misconduct or any third-party claim arising out of or in connection with the project. If this provision is prohibited under the laws that govern the Recipient and Institution, then this provision shall be deemed unenforceable and shall have no force and effect.

Other Funding: Neither the Institution nor the Recipient will accept funding from another source which will result in an overlap of funding for this Project, or result in greater than



100% effort of the Recipient or Key Personnel. The Institution and the Recipient are responsible for determining whether acceptance of this award will jeopardize support they may receive from other sources and ensuring that the Recipient has the capacity required to perform the Project within the proposed timeline. The Recipient will immediately report to the Administrator any additional funding available for activities related to this Project.

Use of the Award Funds: The laws of the United States place certain restrictions on the way funds awarded by charitable trusts and foundations may be expended. **Award funds and any interest earned may be used only for the research project and budget as submitted in the Recipient's Project proposal.** Funds may not be administered for any other purpose without the prior written approval of the Administrator.

The Recipient and Institution must exercise proper stewardship over award funds and ensure that costs charged to the award are allowable, allocable, reasonable, necessary, and consistently applied in line with the Project's accepted proposal and budget. The Institution shall be liable for reimbursement to the Funder of any award funds associated with any inappropriate or unauthorized expenditures or fraudulent or improper conduct involving the use of award funds. The grant monies which have been awarded, including any interest earned therein, may only be used for the purposes stated in this Agreement. Funds may not be expended for any other purpose without the prior written approval of the Administrator.

Expenses eligible for support include the Recipient's salary and fringe benefits; salaries and fringe benefits of personnel essential to the Project for only their work as it directly relates to the Project; publication of scientific data; travel to scientific meetings; laboratory and data processing supplies; and other direct expenses such as equipment essential to the Project. Award funds may only be used for salaries in proportion to the percent effort on the Project. However, percent effort may exceed the percent of total remuneration requested.

Funds may not be used for new construction, the renovation of existing facilities, fundraising projects, or endowments. Funds may not be used for any political activity, accumulated deficits, or for any other purpose prohibited by the Internal Revenue Service Code. Funds awarded for the direct costs of the project may not be used for general operating costs. Research-related expenses not directly related to the Project, general office supplies, individual institutional administrative charges in addition to indirect costs (e.g., telephone, other electronic communication, IT network), professional membership dues, and pre-award charges are **not** allowable expenses.

Indirect costs (institutional overhead): Indirect costs may not exceed 5% of direct costs each year. In instances where there is a subcontract, the combined dollar amount for indirects taken by both the Institution and the contracting institution may not exceed total allowed indirects of the accepted budget.

Re-Budgeting: Expenditures are expected to be within reasonable range of the Project budget as accepted by the Administrator. All requests for re-budgeting or reallocation of grant funds over \$20,000 must be submitted a minimum of thirty (30) days prior to requested effective date of change. Re-budgeting requests should be clearly justified in the annual financial report or conveyed in an update to the financial report to the Administrator. The request must include the current allocation of resources along with specific detail and reason for the reallocation. If



the Institution makes a request for re-budgeting or reallocation outside of the annual progress reporting process, Institution must contact Program Staff to obtain the required forms.

Financial Responsibilities of Award Recipient Institution: The Institution will keep systematic records of all expenditures relating to the Project. Vouchers consisting of bills, invoices, cancelled checks, receipts, etc. will be retained by the Institution for three (3) years after the close of the award period and will be available for inspection by representatives of Funder during normal business hours and upon reasonable notice throughout this period. The Funder may, at their expense, examine, audit, or have audited the records of the Institution insofar as they relate to Project activities supported by this award.

Carry Forward of Funds: All requests to carry forward unspent funding from one year's budget to the next must be clearly justified in the annual financial report. Carry forward requests may be disallowed if adequate justification is not provided.

No-Cost Extension: A no-cost extension ("NCE") for up to nine (9) months may be granted upon receipt and approval of a NCE request. The NCE request form must be submitted between 30 and 90 days prior to the end of the award period. Incomplete forms will not be processed. The NCE request form includes a section for justifying the extension, the unexpended balance, and a timeline for expenditure of the remaining funds. A final scientific report is due at the completion of the extension period. Any portion of the award not expended at the conclusion of the extended period must be made payable to the Funder, in care of the Administrator, within sixty (60) days.

Changes in Award Status: Any changes in the Project's research design including changes to/omission of specific aims described in the Recipient's accepted Project proposal require a formal written request and prior approval before implementation. Changing of Project plans without prior approval may result in the suspension of payments, early termination of the award, and/or reimbursement to the Funder of any expended or unexpended funds. Any change in percent effort of the Recipient, or other personnel providing a substantial intellectual contribution to the Project (collectively, the "Key Personnel") requires prior written request and approval. Requests should include the reason for the change and a description of how the change will affect the scope of work, implementation, and timeline of the Project. All requests for changes to the Project design, aims, or percent effort of the Recipient or Key Personnel must be received by the Administrator at least thirty (30) days prior to the desired effective date of the change.

Transfer or Termination of Award: Awards are made to the Institution where the named Recipient is conducting research. If the Recipient plans on moving to another non-profit academic, medical, non-governmental or research institution during the award period, Recipient will notify and seek approval from the Administrator to continue the Project at the Recipient's new institution. If approved, the Institution will return unexpended Project funds, subject to allowable costs and non-cancelable obligations, to the Administrator to coordinate the transfer of unexpended funds to the new institution.



In the event of early termination of this Agreement, for any reason, Institution will be reimbursed for allowable costs and non-cancellable obligations incurred prior to the date of termination.

If the Recipient is not continuing the Project in another nonprofit research setting, the award will be canceled, and unused funds must be returned within sixty (60) days. Transfer of the award to another PI, if applicable, is not permitted. Disposition of and title to any equipment purchased by the Recipient with award funds will be evaluated on a case-by-case basis. If the Project is terminated for any reason, any unused funds, subject to allowable costs and non-cancelable commitments incurred in the performance of the Project but not yet paid for, must be made payable to the Funder, in care of the Administrator within sixty (60) days. Performance under this Agreement may be terminated by either party upon thirty (30) days written notice to the other.

It is the responsibility of the Recipient as well as the Institution to notify the Administrator of any change in employment status of the Recipient in a timely manner and usually not less than thirty (30) days prior to such change.

Unused Funds and Reversion: Should any of the following events occur, the Administrator, on behalf of the Funder, may demand repayment of all unexpended portions of the award; moreover, all unpaid installments may be cancelled. The Institution is also required to give written notice if there is a change in the Institution's status as noted below.

- A determination, preliminary or otherwise, is made by the United States Internal Revenue Service that the award does not constitute a qualifying distribution.
- The Institution fails to perform any of its duties, in the judgment of the Funder, the Administrator, or its Scientific Review Committee, required by the Application Guidelines and this Agreement. In such cases, the Administrator shall provide no less than thirty (30) days termination notice in writing to the Institution, upon which the Institution shall have an additional thirty (30) days following receipt of such notice within which to cure any deemed failures.
- The Institution ceases to be exempt from income taxes under the Internal Revenue Service Code or becomes a private foundation.
- There is a material change in the purpose, character, or method of operation of the Institution such as to jeopardize its tax status.

Unexpended Funds: Any funds over \$2,000 remaining at the close of an Award Period (extended via NCE or otherwise) must be returned to the Administrator within sixty (60) days and made payable to the Funder.

Medical and Family Leave: The Recipient may continue to expend any award funds allocated to salary during medical or parental leave consistent with the Institution's policies.

Reporting Requirements and Payment Schedules: Final scientific and financial reports are due sixty (60) days following conclusion of the Award Period. Progress reports are due annually on September 2, sixty (60) days prior to the start of the continuing year, regardless of award start date. The Recipient will receive access to the required online report forms by email approximately three



(3) weeks prior to their due dates. It is the responsibility of the Recipient to email the Financial Report Form to the Institution's Financial Officer and ensure that the Administrator receives this completed form. The Funder and Administrator reserve the right to place a hold on funds where the Recipient is non-compliant with these reporting requirements.

Requests for NCE or re-budgeting should be made to the Administrator thirty (30) to sixty (60) days prior to requested effective date of change. In cases where an extension has been granted, Recipients may be required to file an interim status report.

In order for the Funder to understand the impact of the program in the longer term, Awardees will be expected to complete brief Alumni Reports as requested following the Award Period. Completing these forms will help ensure that all outcomes related to Smith research funding are captured, so that the Funder can fully understand the value of its investments in research.

Patents, Copyright, and Intellectual Property: The Recipient should follow the Institution's policies regarding discoveries or any other intellectual property that results from research conducted under this Project. Neither the Administrator nor the Funder of this Project will retain any rights to intellectual property including patents, copyrights, trademarks, or other proprietary rights that result from the Project.

Confidentiality and Third-Party Release: Application materials as well as scientific progress and final reports are considered confidential. The Administrator engages third parties who have the necessary expertise to review the submitted materials and evaluate each project. Although the Administrator endeavors to protect the confidentiality of the reports by requiring reviewers to sign confidentiality agreements, confidentiality cannot be guaranteed. The Administrator and the Funder are not responsible for any consequences resulting from the disclosure of the content of these materials to such third parties.

The Administrator and the Funder reserve the right to public acknowledgement of Project information (Recipient Name, Institution, Project title and research summary). This information will be made available through the website of the Administrator (<https://hria.org/tmf/smithodyssey/>) and may be posted on other affiliated organization websites, publicly accessible databases of privately funded awards, or published in print form or other media. As noted in the application guidelines, the Project summary submitted with the application will be posted on the Administrator's website if the Project is funded.

Use of Name: Except as explicitly stated, neither the Funder, the Administrator, nor the Recipient or Institution (collectively referred to as the "Parties" or individually as the "Party") shall use or register the other Party's name (alone or as part of another name) or any logos, seals, insignia or other words, names, symbols or devices that identify the other Party, including any school, unit, division or affiliate of such Party (such Party's "Names"), except for the limited purpose of identifying and describing the funded Project. Except from when a Party is making a factual statement about the Funder funding the Recipient and Project at Institution, no Party shall use the other Party's Names in public communication without prior written approval of, and in accordance with any restrictions required by, the Party whose Names are to be used.

The Parties agree that each Party may respond to legitimate business inquiries with factual information regarding the existence and purpose of the relationship that is the subject of this



Agreement, or disclose such information to satisfy any financial reporting obligations, without written permission from the other Party. In any such statement, the relationship of the Parties shall be accurately and appropriately described.

Scientific Poster Sessions and Events: The Recipient is expected to share research findings in a timely manner through professional meetings and/or publications.

Smith Video Communications Program: The Recipient is expected to participate in the Smith Communications Program, where awardees will professionally produce a short video about their work.

Acknowledgements: Professional publications or presentations resulting from Project work supported by the award must acknowledge the **Richard and Susan Smith Family Foundation**. The Award Recipient and Institution are encouraged to announce receipt of this Award entitled the “**Smith Family Awards Program for Excellence in Biomedical Research**” and credit financial support to the Richard and Susan Smith Family Foundation.

Post Award: Recipient shall make good faith efforts to respond to the Administrator’s reasonable requests for information on his/her research progress, new position, affiliation, or contact information (especially email address) following the award period. The Recipient may be requested to provide a current Biosketch or update information in an online database. The Recipient understands that this obligation survives the award period.

Revised (5.2024)

